

PTO/SB/21 (12-97)

Approved for use through 9/30/00. OMB 0651-0031

Please type a plus sign (+) inside this box → ☐

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#4

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/597,190	
	Filing Date	June 20, 2000	
	First Named Inventor	William P. BUNTON et al.	
	Group Art Unit	2731	
	Examiner Name	UNKNOWN	
Total Number of Pages in This Submission	5	Attorney Docket Number	1662-29000 (P00-3000)

Technology Center 2600

NOV 22 2000

RECEIVED

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Form PTO-1449 (1 p.);
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	2. TWO (2) References; and
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	3. Acknowledgment postcard.
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

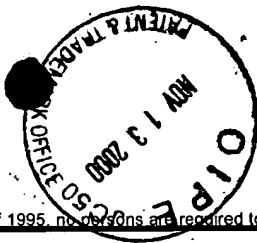
Firm or Individual name	Jonathan M. Harris	Regist. No. 44,144
	Conley, Rose & Tayon, P.C., PO Box 3267, Houston, TX 77253-3267	Tel. 713-238-8000
Signature		
Date	November 7, 2000	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: November 7, 2000	
Typed or printed name	Colleen F. Brown
Signature	
Date	November 7, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

M:\C\1662\29000\PTO TRANS 02



PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) - 0 -

Complete if Known

Application Number	09/597,190
Filing Date	June 20, 2000
First Named Inventor	William P. BUNTON et al.
Examiner Name	UNKNOWN
Group Art Unit	2731
Attorney Docket No.	1662-29000 (P00-3000)

NOV 13 2000
Technology Center 2600

RECEIVED

METHOD OF PAYMENT		FEE CALCULATION (continued)	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: 03-2769 Deposit Account Name: Conley, Rose & Tayon, P.C. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid	
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		105 130 205 65 Surcharge - late filing fee or oath	
FEE CALCULATION		127 50 227 25 Surcharge - late provisional filing fee or cover sheet	
1. BASIC FILING FEE Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid		139 130 139 130 Non-English specification	
101 710 201 355 Utility filing fee		147 2,520 147 2,520 For filing a request for <i>ex parte</i> reexamination	
106 320 206 160 Design filing fee		112 920* 112 920* Requesting publication of SIR prior to Examiner action	
107 490 207 245 Plant filing fee		113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	
108 710 208 355 Reissue filing fee		115 110 215 55 Extension for reply within first month	
114 150 214 75 Provisional filing fee		116 390 216 195 Extension for reply within second month	
SUBTOTAL (1) (\$) - 0 -		117 890 217 445 Extension for reply within third month	
2. EXTRA CLAIM FEES Total Claims <input type="text"/> -20** = <input type="text"/> X <input type="text"/> = <input type="text"/> Independent Claims <input type="text"/> -3** = <input type="text"/> X <input type="text"/> = <input type="text"/> Multiple Dependent <input type="text"/> = <input type="text"/> Large Entity Small Entity Fee Fee Fee Fee Code (\$) Code (\$) Fee Description Fee Paid		118 1,390 218 695 Extension for reply within fourth month	
103 18 203 9 Claims in excess of 20		128 1,890 228 945 Extension for reply within fifth month	
102 80 202 40 Independent claims in excess of 3		119 310 219 155 Notice of Appeal	
104 270 204 135 Multiple dependent claim, if not paid		120 310 220 155 Filing a brief in support of an appeal	
109 80 209 40 ** Reissue independent claims over original patent		121 270 221 135 Request for oral hearing	
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		138 1,510 138 1,510 Petition to institute a public use proceeding	
SUBTOTAL (2) (\$) - 0 -		140 110 240 55 Petition to revive - unavoidable	
**or number previously paid, if greater; For Reissues, see above		141 1,240 241 620 Petition to revive - unintentional	
		142 1,240 242 620 Utility issue fee (or reissue)	
		143 440 243 220 Design issue fee	
		144 600 244 300 Plant issue fee	
		122 130 122 130 Petitions to the Commissioner	
		123 50 123 50 Petitions related to provisional applications	
		126 240 126 240 Submission of Information Disclosure Stmt	
		581 40 581 40 Recording each patent assignment per property (times number of properties)	
		146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
		149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
		179 710 279 355 Request for Continued Examination (RCE)	
		169 900 169 900 Request for expedited examination of a design application	
		Other fee (specify) _____	
		SUBTOTAL (3) (\$) - 0 -	
		* Reduced by Basic Filing Fee Paid	

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Jonathan M. Harris	Registration No. (Attorney/Agent)	44,144
Signature		Telephone	(713) 238-8000
		Date	November 7, 2000

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

M:\C\1662\29000\PTO FEE TRANS 02

FORMALITIES LETTER



OC00000005314015

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/597,190	06/20/2000	William P. Bunton	1662-29000 (P00-3000)

23505
CONLEY ROSE & TAYON, P.C.
600 TRAVIS, SUITE 1800
HOUSTON, TX 77002

Date Mailed: 08/10/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:
John Krause
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

N. FISSHA
Customer Service Center
Initial Patent Examination Division (703) 308-1202

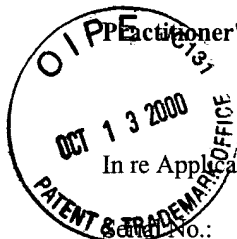
PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/16/2000 WKORDMA 00000093 09597190

01 FC:105

130.00 OP

SECTOR 4



Patitioner's Docket No. 1662-29000 (P00-3000)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William P. BUNTON et al.

Serial No.:

09/597,190

Group No.: 2731

Filed:

June 20, 2000

Examiner:

UNKNOWN

For:

High-Speed Interconnection
Link Having Automated Lane
ReorderingBox Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231COMPLETION OF FILING REQUIREMENTS
-NONPROVISIONAL APPLICATION

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed August 10, 2000.

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Notice to File Missing Parts of Application-Filing Date Granted (Form PTO-1533) is enclosed.

NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: October 10, 2000

FACSIMILE

- ☐ transmitted by facsimile to the Patent and Trademark Office.

SignatureColleen F. Brown
(type or print name of person certifying)

DECLARATION OR OATH

- II. ☒ No declaration or oath was filed for inventor John Krause. Enclosed is the original declaration or oath executed by Mr. Krause for this application.

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).

OR

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date, complete item VI(3) below.

NOTE: The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 CFR 1.63:

- "(1) name of the inventor(s), and application number (consisting of the series code and the serial number; e.g., 08/123,456).
- "(2) name of inventor(s), serial number and filing date;
- "(3) name of inventor(s) and attorney docket number which was on the specification as filed;
- "(4) name of inventor(s), title which was on the specification as filed and filing date;
- "(5) name of inventor(s), title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or
- "(6) name of inventor(s), title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number; e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."

Notice of Jul. 13, 1995 (1177 O.G. Ø); M.P.E.P. § 601.01(a), 6th ed. Rev. 3.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 CFR 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☐ Statement by a registered attorney that the application filed in the PTO is the application which the inventor executed by signing the declaration.
- (d) ☒ Statement that the "attached" specification is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

AMENDMENT CANCELING CLAIMS

- III. ☐ Cancel claims _____ inclusive.

**TRANSMITTAL OF ENGLISH TRANSLATION
OF NON-ENGLISH LANGUAGE PAPERS**

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 CFR 1.69(b).

SMALL ENTITY STATUS

- V. ☐ A statement that this filing is by a small entity
- (check and complete applicable items)*
- ☐ is attached.
- ☐ A separate refund request accompanies this paper.
- ☐ was filed on _____ (original).

COMPLETION FEES

VI.

WARNING: Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 CFR 1.53(d).

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 128(a).

1. Filing fee

- ☐ original patent application
(37 CFR 1.16(a), \$760.00; small entity, \$380.00) \$ _____
- ☐ design application
(37 CFR 1.16(f), \$310.00; small entity, \$155.00) \$ _____

2. Fees for claims

- ☐ each independent claim in excess of 3
(37 CFR 1.16(b), \$78.00; small entity, \$39.00) \$ _____
- ☐ each claim in excess of 20
(37 CFR 1.16(c), \$18.00; small entity, \$9.00) \$ _____
- ☐ multiple dependent claim(s)
(37 CFR 1.16(d), \$260.00; small entity, \$130.00) \$ _____

3. Surcharge fees

- ☐ late payment of filing fee
and/or
☒ late filing of original declaration or oath
(37 CFR 1.16(e), \$130.00; small entity, \$65.00)

\$ 130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 CFR 1.16(e).

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor
(37 CFR 1.17(h) and 1.47, \$130.00)

\$

5. ☐ Fee for processing an application filed with a specification in a non-English language
(37 CFR 1.17(k) and 1.52(d), \$130.00)

\$

6. ☐ Fee for processing and retention of application
(37 CFR 1.21(l) and 1.53(d), \$130.00)

\$

7. ☐ Assignment (See "ASSIGNMENT COVER SHEET").

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(f) and this, as well as, the changes to 37 CFR 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing retention fee of § 1.21(l) within one year of notification under § 1.53(f) must be paid.

Total completion fees:

\$ 130.00

EXTENSION OF TERM

VII.

(complete (a) or (b) as applicable)

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136(a) apply.

- (a) ☒ Applicant petitions for an extension of time, the fees for which are set out in 37 CFR 1.17(a)(1)-4, for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 380.00	\$190.00
<input type="checkbox"/> three months	\$ 870.00	\$435.00
<input type="checkbox"/> four months	\$1,360.00	\$680.00

Fee: \$

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

☐ An extension for _____ months has already been secured and the fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request: \$ _____

OR

(b) ☒ Applicant believes that no extension of time is required. However, this conditional petition is being made to provide for the possibility that Applicant has inadvertently overlooked the need for a petition for extension of time.

TOTAL FEE DUE

VIII. The total fee due is

Completion fee(s) \$ 130.00
Extension fee (if any) \$ _____

Total Fee Due: \$ 130.00

PAYMENT OF FEES

IX.

☒ Enclosed is a check in the amount of \$ 130.00

☐ Charge Account No. 03-2769 the sum of \$ _____
A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

AUTHORIZATION TO CHARGE ADDITIONAL FEES

X.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

☒ Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Deposit Account No. 03-2769.

☒ CFR 1.16(a), (f) or (g) (filing fees)
☒ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

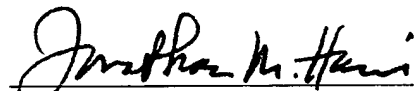
- ☒ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☒ 37 CFR §§ 1.17(a)(1)-(5) extension fees pursuant to § 1.136(a))
- ☒ 37 CFR 1.17 (application processing fees)

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 CFR § 1.136(a)(3).

- ☐ 37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application ... prior to paying, or at the time of paying ... issue fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.



SIGNATURE OF ATTORNEY

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Houston, Texas 77253-3267
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Fax: (713) 238-8008